

# A Project Manager's Guide to Applying For and Managing Grants

East Bay Municipal Utility District

May, 2012

<b>GRANTS APPLICATION, AWARD ACCEPTANCE and ADMINISTRATION RESPONSIBILITIES PROCEDURES and FLOWCHART</b>		<b>EFFECTIVE</b>	xx JAN 20xx
		<b>SUPERSEDES</b>	NEW
		<b>LEAD DEPARTMENT</b>	FIN
<b>Determining Eligibility</b>	<p><b><u>Department</u></b></p> <ul style="list-style-type: none"> <li>- Identifies the Grant Program and thoroughly reviews the guidelines to determine eligibility.</li> <li>- Verifies funding is or will be available to absorb the total project cost in the current Operating Budget or Capital Improvement Program (CIP) considering when the proposed project work will be performed.</li> </ul>		
<b>Application Preparation and Approval</b>	<p><b><u>Department</u></b></p> <ul style="list-style-type: none"> <li>- Notifies the Budget Office and provides. <ul style="list-style-type: none"> <li>a. A copy of the grant criteria and guidelines.</li> <li>b. The project name.</li> <li>c. The estimated total project cost and amount of funding being requested.</li> <li>d. A description of where the funding resides in the department's operating budget or CIP.</li> </ul> </li> <li>- Notifies the General Manager of the intent to apply to seek the GM's buy-in before moving forward with the application process.</li> <li>- Prepares the grant application.</li> </ul> <p>Note: For federal grants, the departments can apply with or without indirect cost. With indirect costs, there is uncertainty and the final amount might be less than what is expected (final actual rate might be lower than the budgeted rate). The District has a negotiated rate (re-negotiated yearly) applicable to all federal grants. However, departments can use a lower number if it is decided that a lower rate has a better chance of getting a grant awarded. If the actual rate is less than the provincial rate, the District can request additional reimbursements but only up to the grant agreement amount.</p> <ul style="list-style-type: none"> <li>- Circulates the application for review from the originator through the division manager and department director obtaining their approvals.</li> <li>- Submits the draft application to the Office of General Counsel and the Budget Office for review.</li> <li>- <i>If required</i>, puts item on the Board calendar and drafts the Board action items if the granting agency is asking for a specific resolution to apply. Submits draft Board action items to the Budget Office and the Office of General Counsel for review. (This only happens if the granting agency will not accept the District's blanket resolution authorizing the General Manager to apply for grants.)</li> </ul>		

	<p><b><u>Budget Office</u></b></p> <ul style="list-style-type: none"> <li>- Assists the department in establishing a plan for completing and submitting the application.</li> <li>- Reviews with the department that funding is or will be available for the project.</li> <li>- Reviews any required Board action items.</li> <li>- Reviews the draft application.</li> <li>- Submits the final application to the General Manager for review and approval.</li> </ul> <p><b><u>Office of General Counsel</u></b></p> <ul style="list-style-type: none"> <li>- Reviews application package and approves as to for many grant related legal documentation.</li> <li>- Reviews Board action items and prepares any required resolutions.</li> </ul> <p><b><u>Accounting</u></b></p> <ul style="list-style-type: none"> <li>- At the request of the department, provides internal rates information related to the grant.</li> </ul>
<b>General Manager 's Approval</b>	<p>The Budget Office will deliver the application to the General Manager for signature.</p> <p>The <b>General Manager</b>, as the District's Authorized Representative, will sign the application.</p>
<b>Submission of Completed Application</b>	<p>The <b>Department</b> will submit the signed application using a mailing method which ensures that the Grantor Agency submission deadline will be met.</p> <p>The <b>Department</b> will mail the signed application to the granting agency via Federal Express or certified mail with return receipt requested. If the application is submitted online, the originating department must secure a confirmation of receipt via email from the grantor.</p> <p>The <b>Department</b> maintains a copy of the signed application and provides a copy (.pdf preferred) to the Budget Office,</p>
<b>Notification</b>	<p>The <b>Department</b> must notify the Budget Office upon notification of either award or denial of funding on any grant project application submitted.</p>

<b>Proposed Award Agreement</b>	<p><b><u>Department</u></b></p> <ul style="list-style-type: none"> <li>- Notifies the Budget Office upon notification of award recommendation.</li> <li>- Reviews the proposed agreement paying specific attention to the scope of work and consistency with the application submitted.</li> <li>- Communicates with the funding agency regarding requested changes or edits to the proposed agreement.</li> <li>- Submits the proposed agreement to the Office of General Counsel for mandatory review and approval.</li> <li>- Submits the final proposed agreement to the Budget Office for submittal to the General Manager.</li> </ul> <p><b><u>Office of General Counsel</u></b></p> <ul style="list-style-type: none"> <li>- Reviews the proposed grant agreement and approves as to form prior to the General Manager's signature.</li> <li>- Communicates to the department any recommended changes or revisions.</li> </ul>
<b>Board of Director's Resolution (If Required)</b>	<p><b><u>Department</u></b></p> <p>The Board of Directors must approve acceptance of grant awards over \$500,000, prior to execution of an agreement. The department is responsible for recommending acceptance to the Board of Directors by drafting the Board action items and obtaining the Budget Office's and Office of General Counsel's review. The Board calendar date should fall after the agreement has been received and reviewed by staff including the Office of General Counsel. The department should review the funding agency's program guidelines for any required language. If required language exists, and is not included, the resolution may be rejected by the granting agency.</p> <p>As per Resolution 33692-08, the General Manager has the authority to execute grant agreements and accept grant awards of \$500,000 or less, upon approval as to form by the Office of General Counsel. However, in some cases, the granting agency may indicate a separate, project specific resolution is required, in which case, a Board action item will need to be prepared.</p>
<b>General Manager's Approval</b>	<p>Generally, if the recommended award amount is \$500,000 or less, the <b>General Manager</b> is authorized to accept the grant and enter into the grant agreement, upon review and approval by the Office of General Counsel. The Department will submit the agreement, approved by the Office of General Counsel,) to the Budget Office for submission to the General Manager for approval. The Department will report the grant award in the GM's Monthly Report to the Board of Directors.</p>

	For grant awards over \$500,000 and/or requiring approval by the Board of Directors, the Department will submit the agreement to the General Manager for signature after the Office of General Counsel has approved the agreement and the Board resolution is approved by the BOD. Attach the official Board resolution to the grant agreement package.
<b>Submission of Executed Agreement</b>	The <b>Department</b> submits the signed agreement using a mailing method which ensures that the Grantor Agency submission deadline is met, and provides confirmation of receipt, i.e. Federal Express or certified mail with return receipt requested.
<b>Receipt of Duly-Executed Agreement</b>	Upon receipt of the Duly-Executed Grant Agreement from the Grantor Agency, the originating department, will distribute copies of the Agreement as follows: <ul style="list-style-type: none"> <li>• Original to Records Management</li> <li>• Copies to Department, Budget Office, and Accounting Office</li> <li>• DOX – award and cost documents</li> </ul>
<b>Administration</b>	<p><b><u>Department</u></b></p> <p><u>Reporting.</u></p> <p>Upon execution of the Grant Agreement, it is the project manager's responsibility to adhere to the terms of the Agreement, meeting all of the established reporting requirements and due dates, including completing reimbursement claims, compiling and submitting all progress reports and the final report to the granting agency.</p> <p>The project manager is required to provide the following to the Accounting Office:</p> <ol style="list-style-type: none"> <li>Any template payment forms received from the Grantor Agency, including advice or processing payments.</li> <li>Progress report</li> <li>PC37 report</li> <li>Draft reimbursement request</li> </ol> <p>The project manager should also send the draft reimbursement request with supporting PC37 reports for Accounting review before submit to the granting agency.</p> <p><u>Project ID / Job Numbers.</u></p> <p>It is the responsibility of the project manager to provide the Accounting Office any job numbers to be used in association with the grant. Reimbursable job numbers must be differentiated from non-reimbursable job numbers.</p> <p><u>Retention</u></p> <p>Originating Department will maintain:</p> <ul style="list-style-type: none"> <li>• Grant Agreement</li> <li>• List of project IDs</li> <li>• Project Expense Report (PC37)</li> <li>• Progress Report reconciled to the PC37</li> </ul>

	<ul style="list-style-type: none"> <li>• Vendor invoices, payments, and change order (MMIS), reconciled to the PC37</li> <li>• Bid documents and contracts with vendors</li> <li>• Environment Review Report, if applicable</li> <li>• Agreement with other agencies as co-applicants, if applicable</li> <li>• Agreement with sub-recipients, if applicable</li> <li>• Revenue reports and details if project produces income for the District</li> <li>• Monitoring visitation letters or reports from the Grantor Agency</li> <li>• Any other documents or data required by the Grant Agreement</li> </ul> <p>Agreement Amendments</p> <p>Any amendments to the Agreement must be executed by the General Manager, the District's Authorized Representative.</p>
<b>Accounting</b>	<p>Accounting review the draft reimbursement request submitted by the Department and obtain controller's signature if required.</p> <p><b>Accounting Office</b> will maintain:</p> <ul style="list-style-type: none"> <li>• Grant Agreement</li> <li>• List of project IDs</li> <li>• Project Expense Report (PC37)</li> <li>• Progress Report reconciled to the PC37</li> <li>• Reimbursement Request reconciled to the Progress Report</li> <li>• Employee pay rates</li> <li>• Vehicle rates</li> <li>• Fringe benefit rates</li> <li>• Employee time charges to the project (ETS), reconciled to the PC37</li> <li>• Equipment and vehicle usage record (ETS) reconciled to the PC37</li> <li>• Vendor invoices, payments, and change order (MMIS), reconciled to the PC37</li> <li>• Copy of received reimbursement check / incoming wire</li> <li>• Cash receipts</li> <li>• Check / wire deposit traced to bank account</li> </ul>
<b>Records Management</b>	<p><b>Records Management</b> will maintain:</p> <ul style="list-style-type: none"> <li>• Grant agreements</li> <li>• Grant related records provided by the Department</li> </ul>
<b>Receipts</b>	<p>The <b>grantor</b> will be advised to mail all payments directly to the District's Mail room during the initial set up of the grant.</p> <p>Each day, the <b>Mail Room</b> staff will sort and open all mail addressed to the District. Staff will separate payments to the District and forward them to the Business Office-Payment Center.</p> <p>The <b>Remittance Center</b> will log all payments received, make a copy of the check, and deposit the money into the bank.</p> <p>The <b>Remittance Center</b> will forward the deposit slips to <b>Accounting-PP&amp;E/Cash Receipt</b> Section.</p> <p><b>Accounting-PP&amp;E/Cash Receipt</b> staff will apply account coding to the transactions.</p>

	<p><b>Accounting-PP&amp;E/Cash Receipt</b> staff will forward the following documents to the <b>Grant Accounting</b> staff:</p> <ol style="list-style-type: none"><li>1. A copy of the check</li><li>2. A copy of the receipt (with JV # and Date)</li><li>3. A copy of the deposit slip</li></ol> <p><b>Accounting-PP&amp;E/Cash Receipt</b> Section Cash Receipt staff will create journal vouchers and generate daily cash receipts reports. The documents will be forwarded to the Section supervisor (or assigned staff) for review and approval.</p> <p><b>Accounting-Financial Reporting</b> staff will post the transactions into the PeopleSoft Financial Information System.</p> <p><b>Accounting-PP&amp;E/Cash Receipt</b> Section Bank Reconciliation staff will reconcile the monthly deposits to the bank statement and general ledger at the end of each accounting cycle.</p> <p>The <b>Grant Accounting</b> staff will reconcile the posted transaction in the PeopleSoft Financial Information System to the grant accounting records periodically.</p>
<b>Audits</b>	<p>In the event of an audit by state or federal regulatory agencies, or the Grantor Agency, the originating department and the Accounting Office will provide the documentation listed above.</p>

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